



GP/2737

ATTORNEY DOCKET NO.: CIS99-1717

Technology Center 2600

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: John G. Waclawsky and Hamesh Chawla
Serial No.: 09/405,777
For: METHODS AND APPARATUS FOR CONTROLLING A DATA STREAM
USING A HOST AGENT ACTING ON BEHALF OF A HOST COMPUTER
Filing Date: September 27, 1999
Examiner: Unassigned
Art Unit: 2737

Certificate of Mailing Under 37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on:

Date: May 8, 2001

By: Crystal Slason
(Typed or printed name of person mailing
Document, whose signature appears below)

Signature: *Crystal Slason*

Assistant Commissioner for Patents
Washington, DC 20231

TRANSMITTAL LETTER

Sir:

Enclosed is/are:

- [x] Transmittal Letter (this form, 2 pages) (in duplicate), Total Pages: 4;
- [x] Information Disclosure Statement, Total Pages: 3;
- [x] PTO-1449 Form, Total Pages: 1;
- [x] Copies of cited references enclosed, Total References 3;
- [x] Return Receipt Pre-paid Postcard (in duplicate), Total postcards: 2;
- [x] Authorization to charge Deposit Account No. 50-0901, if required.

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U.S. Application No.: 09/405,777

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Group Art Unit: 2737

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There is no fee required. If the U.S. Patent and Trademark Office deems a fee necessary, this fee may be charged to the account of the undersigned, Deposit Account No. 50-0901.

If the enclosed papers or fees are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (508) 366-9600, in Westborough, Massachusetts.

Respectfully submitted,

CHAPIN & HUANG, L.L.C.

By:

David E. Huang, Esq.

U.S.P.T.O. Registration No.: 39,229

CHAPIN & HUANG, L.L.C.

Westborough Office Park

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Westborough, Massachusetts 01581

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Dated: May 8, 2001



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Signature: *Crystal Slason*

Assistant Commissioner for Patents
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or (If IDS filed as first/second submission after Final Rejection);
- ☒ under 37 CFR 1.97(b), or (If IDS Filed within three months of filing national application; or date of entry of the national stage in international application; or before mailing date of first office action on the merits; whichever occurs last);
- ☐ under 37 CFR 1.97(c) together with either:
 - ☐ a Statement under 37 CFR 1.97(e), as checked below, or
 - ☐ a \$240.00 fee under 37 CFR 1.17(p), or (If filed after the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
 - ☐ a Statement under 37 CFR 1.97(e), as checked below, and
 - ☐ a Petition under 37 CFR 1.97(d)(2), and

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- ☐ a \$130.00 petition fee set forth in 37 CFR 1.17(i). (If IDS filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)
- ☐ Applicant requests that the attached IDS and cited reference(s) _____ be placed in the application filewrapper. (If IDS filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in a prior application, having U.S. Serial No. _____, and references that are not required to be submitted under 37 CFR 1.98.
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

Concise Explanation Requirement (required for non-English references):

- ☐ The "concise explanation" requirement for reference(s) _____ under 37 CFR 1.98(a)(3) is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☐ submission of the enclosed International Search Report.
 - ☐ the enclosed English language abstract.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☒ No fee is required for this Information Disclosure Statement.
- ☐ Enclosed is a check in the amount of \$_____.
- ☐ A copy of this Statement is enclosed.



U.S. Application No.: 405,777

Attorney's Deposit No.: CIS99-1717

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If a fee is required for this IDS, or if the enclosed fee is not sufficient, the Patent Office is hereby granted permission to charge Deposit Account No. 50-0901 (Chapin & Huang, L.L.C.) for any additional fees required for this IDS.

Respectfully submitted,

CHAPIN & HUANG, L.L.C.

By: 

David E. Huang, Esq.
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